



T.P.W

**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**In re Application of:** Colin J. Smit et al.

**Serial No.:** 10/629,689

**Filed:** 07/30/2003

**For:** Programmable Automated Trustee (PAT)  
System, ...

**Examiner:** Unknown


**Group Art Unit:** Unknown

**Attorney Docket No.:** B73-211

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence along with any attachments referred to or identified as being attached or enclosed is being deposited with the United States Postal Service as First Class Mail (under 37 C.F.R. § 1.8(a)) on the date of deposit shown below with sufficient postage and in an envelope addressed to: Mail Stop: Patent, Commissioner for Patents, Alexandria, VA 22313-1450

August 9, 2006  
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Signature of registered practitioner or other person  
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1.8(a)(1)(ii)

Brian C. Trask  
Typed/printed name of person whose signature is  
contained above

**SUBMISSION OF CORRECTED POWER OF ATTORNEY FORM**

Mail Stop Patent

Commissioner for Patents

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Alexandria, VA 22313-1450.

Sir:

This paper is submitted subsequent to a review of private PAIR data concerning  
correspondence address for the above indicated patent application.

### Remarks

Applicants have previously submitted a Power of Attorney Form PTO/SB/81 which inadvertently did not also indicate desired changes to the correspondence address. The Form PTO/SB/81 is corrected and resubmitted, with the required supporting documents, as attachments to this paper.

### Conclusion

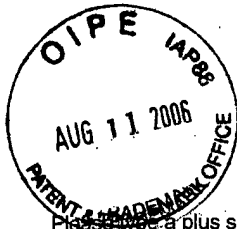
Applicant requests that the attached Form PTO/SB/81 be entered, and the correspondence address be changed as indicated thereon. If any questions or issues remain which might most conveniently be resolved by telephone interview, FAX, or by e-mail, the Examiner is respectfully requested to communicate with the representative at the below indicated contact information.

Respectfully submitted,



Brian C. Trask

3601 East Hermes Drive  
Salt Lake City, Utah 84124  
(Voice) (801) 274-8851  
(FAX) (801) 272-1127  
August 9, 2006



Please enter a plus sign (+) inside this box → ☐

PTO/SB/81 (10-00)

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## POWER OF ATTORNEY OR AUTHORIZATION OF AGENT

Application Number	10/629,689
Filing Date	07/30/2003
First Named Inventor	Colin J. Smit
Group Art Unit	3629
Examiner Name	
Attorney Docket Number	873-211

I hereby appoint:

☒ Practitioners at Customer Number

OR

☐ Practitioner(s) named below:

26929



26929

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

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I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

### SIGNATURE of Applicant or Assignee of Record

Name

Signature

Date

INVESTMENT TRANSACTION ANALYSIS LLC

Stephen Cockcroft - President

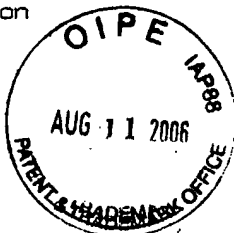
9-22-04

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

☒ \*Total of 1 forms are submitted.

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**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: Colin J. Smit & Johannes C. Bruce  
 Application No./Patent No.: 10/629,689 Filed/Issue Date: 07/30/2003  
 Entitled: Programmable Automated Trustee (PAT) system, ...  
Investment Transaction Analysis, Inc. a Company  
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or  
 2. ☐ an assignee of less than the entire right, title and interest.  
 The extent (by, percentage) of its ownership interest is \_\_\_\_\_ %

In the patent application/patent identified above by virtue of either:

- A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

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 The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
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☐ Additional documents in the chain of title are listed on a supplemental sheet.☒ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

October 5, 2004  
 Date

Stephen Cockcroft  
 Typed or printed name  
[Signature]  
 Signature  
President, Investment Transaction Analysis, Inc.  
 Title

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## ASSIGNMENT OF APPLICATION

Whereas, We Colin Julian Smit and Johannes Conradie Bruce of Cape Town, South Africa, hereafter referred to as applicant, have invented certain new and useful improvements in investment transaction analysis, known as the "Programmable Automated Trustee" system, for which an application for a United States Patent was filed on July 30, 2003, (Application Number not yet issued, stamped and dated Patent Application Transmittal Form attached).

Whereas, Investment Transaction Analysis, Inc., a Delaware, U.S.A. corporation here referred to as "assignee" whose mailing address is 1000 Tudor Drive, Crownsville, Maryland 21032 is desirous of acquiring the entire right, title and interest in the same;

Now, therefore, in consideration of the sum of ten dollars (\$10.00) and other valuable consideration, the receipt whereof is acknowledged, We, the applicants, by these presents do sell, assign and transfer unto said assignee the full and exclusive right to the said invention in the United States and the entire rights, title and interest in and to any and all Patents which may be granted therefore in the United States. We hereby authorize and request the Director of the U.S. Patent and Trademark Office to issue said United States Patent to said assignee, of the entire right, title and interest in and to the same, for assignee's sole use and behoof, and for the use and behoof of his legal representatives, to the full end of the term for which said Patent may be granted, as fully and entirely as the same would have been held by me had this assignment and sale not been made.

Executed this 4<sup>th</sup> day of August, 2003.

At Cape Town, South Africa

  
Colin Julian Smit, Applicant

  
Johannes Conradie Bruce, Applicant

Commissioner of Oaths for South Africa:

Before me personally appeared said applicants and acknowledged the foregoing instrument to be their free act and deed this 4<sup>th</sup> day of August, 2003

SEAL:

**ADV. PETER CAROLUS**  
COMMISSIONER OF OATHS  
EX OFFICIO  
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